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MONITORING AND EVALUATION OF THE WALIS PROJECT

Performance Monitoring Plan

NOVEMBER 2015

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ACRONYMS AND ABBREVIATIONS

AFR/SD	Africa Bureau Office of Sustainable Development
AMCOW	Joint Monitoring Programmed to the African Ministers Council on Water
COP	Chief of Party
FABRI	Further Advancing the Blue Revolution Initiative
IDIQ	Indefinite Delivery Indefinite Quantity
IR	Intermediate Results
M&E	Monitoring and Evaluation
PMP	Performance Monitoring Plan
PMT	Performance Monitoring Table
RF	Results Framework
RFTOP	Request for Task Order Proposal
SDGs	Sustainable Development Goals
TRG	Training Resources Group
USAID	United States Agency for International Development
WADI	Water and Development IDIQ
WALIS	Water for Africa through Leadership and Institutional Support
WASH	Water, Sanitation, and Hygiene
WP	Work Plan

WALIS BACKGROUND

Water for Africa through Leadership and Institutional Support (WALIS) reflects the U.S. Agency for International Development (USAID)'s latest thinking on achieving transformative improvements in access to clean water and improved sanitation. This new five year initiative, awarded under the Water and Development IDIQ (WADI) contract, aims to bolster the ability of African leaders, donors and stakeholders to use existing data and analyses to shape water, sanitation and hygiene (WASH) strategies, program plans, and budgets. WALIS is being implemented by DAI with support from the Training Resources Group (TRG), The Cloudburst Group, and Taoti Creative.

The objective of WALIS is to improve the capacity of national water sectors to implement national policies, strategies, and plans that will deliver sustainable WASH services consistent with the Sustainable Development Goals (SDGs). WALIS will accomplish this through work across four core tasks including:

- Task 1: Developing, monitoring and analyzing sound sector data;
- Task 2: Engaging in targeted research and pilot activities around identified sector constraints;
- Task 3: Strengthening country systems to develop informed policy and engage in sector planning toward sustainable WASH services; and
- Task 4: Increasing the capacity required to support improved collection and use of sector knowledge.

WALIS will work with the Africa Bureau's Office of Sustainable Development (AFR/SD) to make WALIS a flexible support platform that fosters and promotes a culture of inquiry among African regional and national WASH partners and strengthens WASH programs and programming

WALIS PERFORMANCE MANAGEMENT PLAN (PMP)

This initial WALIS Performance Management Plan (PMP) serves four primary purposes: 1) promote ongoing discussions relevant to project scope and intermediate results as they are further defined during the first six months of implementation; 2) clarify and define potential project outcomes and performance indicators; 3) outline a preliminary strategy to collect, evaluate, and validate data in order to effectively measure and monitor project performance; and 4) inform decisions surrounding resource allocation for WALIS monitoring and evaluation (M&E) activities.

As the initial WALIS Work Plan (WP) focuses project efforts from October 1, 2015 to March 31, 2016 on engaging with key partners, prioritizing countries to work in, defining specific project activities and specific outputs and outcomes, and identifying thematic areas of interest, the PMP will be revised in consultation with AFR/SD and updated as necessary to reflect changes in program scope and direction. Particularly over the course of the next six months, WALIS will carefully consider if the intermediate results (IRs), project outputs, and performance indicators included in the PMP remain relevant to project planning and continue to be appropriate measures of project performance and results. WALIS will document any changes made to the PMP along with the rationale for these adjustments and submit an updated PMP to USAID for approval following the WALIS Roadshow and submission of the next WALIS Work Plan.

WALIS THEORY OF CHANGE AND RESULTS FRAMEWORK

The overall objective of WALIS is to support national and regional institutions and their development partners to improve the capacity of national water sectors to implement policies, strategies, and plans that will deliver sustainable WASH services consistent with the SDGs.¹ Achievement of this objective demands clearly articulated evidence for its linkages between project results and outputs. WALIS has therefore adapted the original Approach and Causal Model for the Implementation of WALIS (submitted in DAI's response to WALIS RFTOP No. AFR-15-000022 and included in Annex I) into the schematic of a Results Framework to provide a depiction of the WALIS Theory of Change and the linkages between outputs, outcomes at the intermediate result (IR) level, and the overall project objective. By converting the Approach and Causal Model to a project level Results Framework, it is easier to understand and evaluate the program's theory of change through an illustration of the hierarchy of results necessary to achieve the project objective.

The WALIS Results Framework depicted below (Figure 1) is organized by three project-level IRs, and delineates results per each IR at the output, outcome, and impact levels. The three project IRs were formulated based on the Approach and Causal Model for the Implementation of WALIS, the AFR/SD WASH Results Framework provided by USAID, a close consideration of the WALIS Strategic Approach, and the November 2015 WALIS Kickoff Meeting with USAID staff and the WALIS team. The three IRs include:

- IR1: Strengthened capacity of national and regional institutions to collect and utilize sound sector data.
- IR2: Creation and dissemination of sound sector data and analyses surrounding WASH processes and innovations.
- IR3: Increased levels of coordination, communication, and knowledge sharing among national and regional institutions and development partners within the African WASH sector.

Under each of the IRs, the potential outputs for WALIS were designed using the language of the four core tasks areas and illustrative activities covered within the WALIS SOW. Moving forward, The IRs and outputs will be reviewed and adapted as the Project's activities and thematic focus are further defined in the initial months of implementation.

¹ The overall objective of WALIS supports the Bureau for Africa's Office of Sustainable Development (AFR/SD) goal to increase first time and improved access to WASH services in USAID target countries in Sub-Saharan Africa.

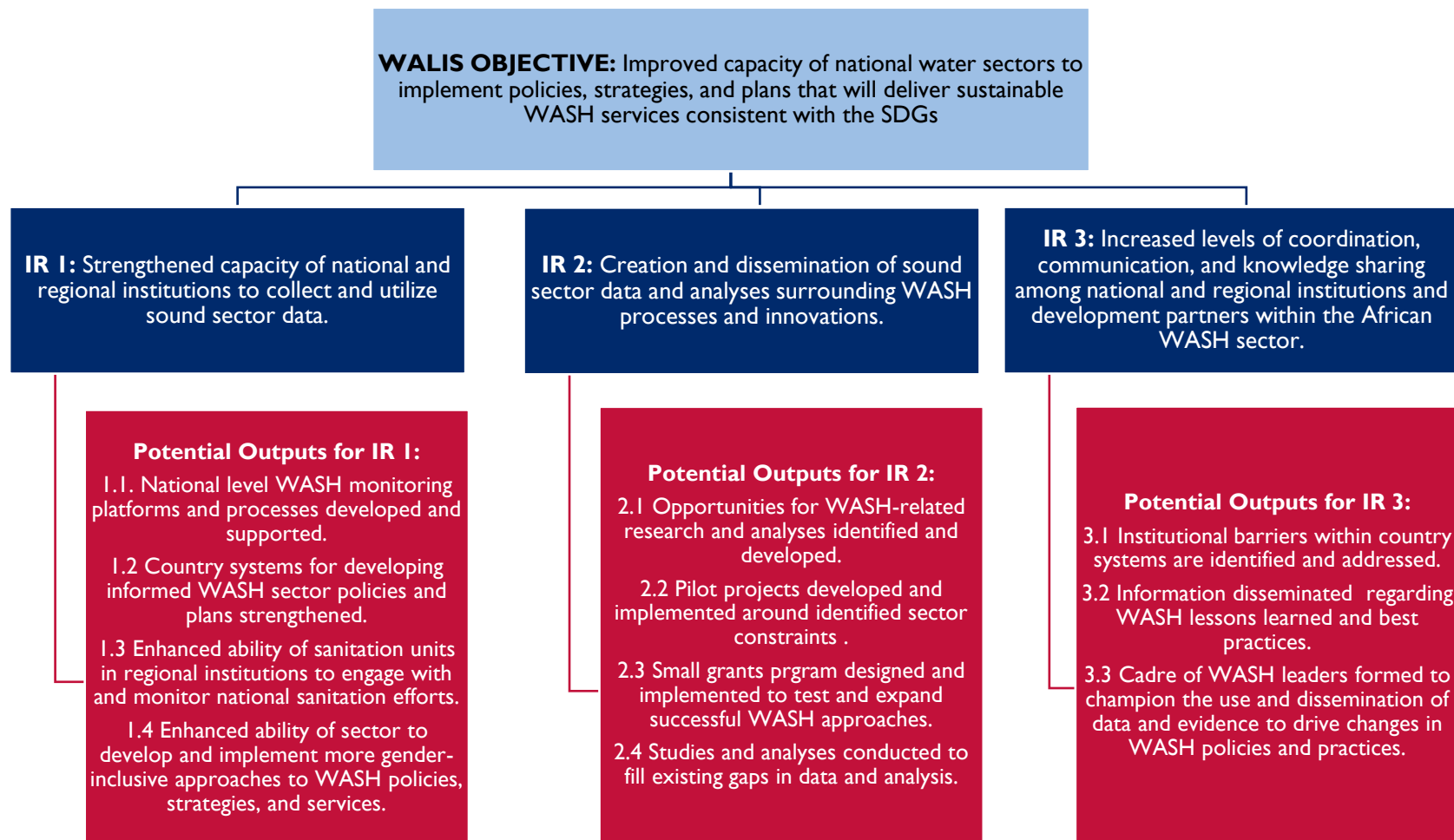


FIGURE 1: WALIS RESULTS FRAMEWORK

PERFORMANCE INDICATORS

A series of performance indicators will be used to effectively measure and monitor change within the WALIS Results Framework. WALIS will use a combination of USAID Standard Foreign Assistance indicators and custom indicators designed by WALIS staff. Indicators will be direct, objective, useful for management purposes, attributable, practical, adequate, and disaggregated as appropriate. To provide the comprehensive coverage needed for performance assessment, troubleshooting, and management of WALIS, the project will track two types of performance indicators, including output and outcome indicators. Output indicators, such as “number of stakeholders participating in training,” will help track project activities and inform project performance to identify areas where implementation strategies may need to be adjusted. Outcome indicators, such as “percentage of project countries with improved capacity to capture and monitor WASH data,” measure the impact of project activities.

The table below (Figure 2) illustrates the indicators proposed under each project IR. This list will be revised and adapted as necessary to reflect any changes in the WALIS Results Framework and to ensure that WALIS is measuring indicators that serve as valid and appropriate measures of project performance.

Annex II includes the draft WALIS Performance Monitoring Table (PMT). The PMT includes detailed information about each of the indicators listed above, including potential data sources and data collection methodologies, proposed frequency of data collection, and examples of annual and life of project targets. As the direction and scope of WALIS activities become better defined, the PMT will be expanded to include indicators at the project output level under each IR. To comply with USAID requirements, all indicators will also be defined in Performance Indicator Reference Sheets (PIRS). In line with USAID best practices, WALIS will work with AFR/SD to finalize baseline levels and specific targets for all indicators following future work planning meetings and discussions with partners during the WALIS Roadshow.

The PMT will serve as an important tool for the monitoring and verification of data by tracking progress toward quarterly and annual indicators. Maintaining standardized, precise definitions of performance indicators is critical to project success; the PMT will serve as a valuable reference for these definitions and identifies appropriate units of measure for tracking progress toward indicators.

FIGURE 2: WALIS PERFORMANCE INDICATORS²

IR 1. Strengthened capacity of national and regional institutions to collect and utilize sound sector data in order to monitor WASH services and inform sector planning.	
INDICATOR	DISAGGREGATION
Indicator 1.1: Number policies, strategies, and plans for sustainable WASH services officially proposed, adopted, or implemented as a result of USG assistance.	Disaggregated by region, country, institution/service type
Indicator 1.2: Number of stakeholders using sound sector data in their decision making as a result of USG assistance.	Disaggregated by region, country, institution/service type, gender
Indicator 1.3: Number of institutions that have implemented new WASH sector monitoring and evaluation plans and efforts as a result of USG assistance.	Disaggregated by region, country, institution/service type, urban/rural
IR 2. Creation and dissemination of sound sector data and analyses surrounding WASH processes and innovations.	
INDICATOR	DISAGGREGATION
Indicator 2.1: Number of models for improving WASH service delivery piloted, evaluated, and completed.	Disaggregation by region, country, institution/service type, urban/rural
Indicator 2.2: Number of individuals from the WASH sector trained in WASH sector data collection and monitoring and evaluation as a result of USG assistance.	Disaggregated by region, country, institution/service type, gender
Indicator 2.3: Number of water resource sustainability assessments undertaken.	Disaggregation by region, country, institution/service type, urban/rural
IR 3. Increased levels of coordination, communication, and knowledge sharing among national and regional institutions and development partners within the African WASH sector.	
INDICATOR	DISAGGREGATION
Indicator 3.1: Number of WASH publications developed by WALIS and partner organization(s).	Disaggregation by region, country, institution/service type
Indicator 3.2: Number of stakeholders receiving USG assistance engaged in the advocacy of sound WASH sector data.	Disaggregation by region, country, institution/service type, gender
Indicator 3.3: Number of public-private partnerships formed as a result of USG assistance.	Disaggregation by region, country, institution/service type
Indicator 3.4: Number of regional partnerships formed as a result of USG assistance.	Disaggregation by region, country, institution/service type

² Subject to review and modification as project activities and thematic scope are defined during the initial implementation phase

The WALIS Results Framework and Performance Monitoring Table (PMT) will serve as the basis for WALIS M&E activities. Designed to support learning and adapting, WALIS M&E will serve three main purposes: 1) Capture, record and provide information about progress toward achieving specific outputs and outcomes for project management purposes; 2) Measure overall project impact and learn lessons about the effectiveness of project implementation approaches; and 3) Provide information for regular reporting to USAID's Africa Bureau Office of Sustainable Development (AFR/SD). The WALIS M&E approach is outlined in further detail below (Figure

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graph LR; A[Draft PMP] --> B[Conduct Baseline Testing]; B --> C[Validate and Finalize M&E Plan]; C --> D[Reports to USAID]; subgraph CycleBox [ ]; D --> E[Task Leads Report Data]; E --> F[M&E Lead Verifies Data]; F --> G[Periodic Project Reporting]; G --> H[Mgt team Reviews]; H --> I[Staff Prepare Performance Reports]; I --> D; end; C --> J[Learn, Adapt, and Apply]; K[Mid-Term Evaluation] --> J; J --> C;
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3).

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to M&E design and processes, training of staff on implementation of the M&E system, and the translation of data into analyses and learning that will inform future activities.

DATA SOURCES

The M&E team will work to establish baseline values and targets for each indicator as they are further defined during the initial phase of the project. To set targets, WALIS will analyze available secondary data relevant to the activities planned by the project. WALIS aims to set realistic targets, which will be reviewed annually along with the PMT. Any adjustments will be carefully documented and discussed with USAID.

To measure the performance indicators, WALIS will utilize three main types of data, including: primary data collected through assessments, surveys and interviews; WALIS reporting data maintained in project records and monitoring systems; and analyses of existing sound WASH sector data. WALIS will also utilize existing data analyses of WASH policies and strategies to help inform baseline values of WALIS indicators and to inform targets for WALIS activities. Examples of secondary sources include: Millennium Development Goal (MDGs) assessment data; the WASH Performance Index Report; and data reported under the Joint Monitoring Programme to the African Ministers Council on Water (AMCOW).

DATA COLLECTION

Data collection methods and sources for each indicator are identified in the PMT, as well as the frequency with which monitoring data is collected. High-level project impact data will be collected annually; outcomes and outputs will be collected annually, quarterly, or semi-annually. Potential methods of data collection may include periodic surveys to generate feedback from targeted users on accessibility and usefulness of knowledge products developed by the project, which will be used to modify publications and/or change the dissemination strategy. WALIS may also assess, through surveys and observation, the application of knowledge and skills gained in project-supported capacity building activities. Such assessments, along with periodic interviewing of key counterparts within national and regional organizations, will capture stories and anecdotes around project success in targeted countries.

Program-level monitoring information will come from the reports submitted by regional partners, subcontractors, and grantees using agreed-upon data collection processes and reporting formats. Secondary data will also contribute to program-level monitoring.

Depending on the extent and nature of partner engagement, WALIS will either ask the implementing organization to complete and submit a simple electronic form with appropriate indicators each month, or provide funding to enable the partner to hire additional M&E staff that can support WALIS monitoring and reporting needs. In both cases, the M&E Specialist will strengthen partner/grantee M&E capacity through formal training workshops. The M&E specialist will also provide support for project evaluations of research, pilot, and demonstration activities supported by WALIS, and support institutional technical capacity assessments.

DATA ANALYSIS, REVIEW, AND REPORTING

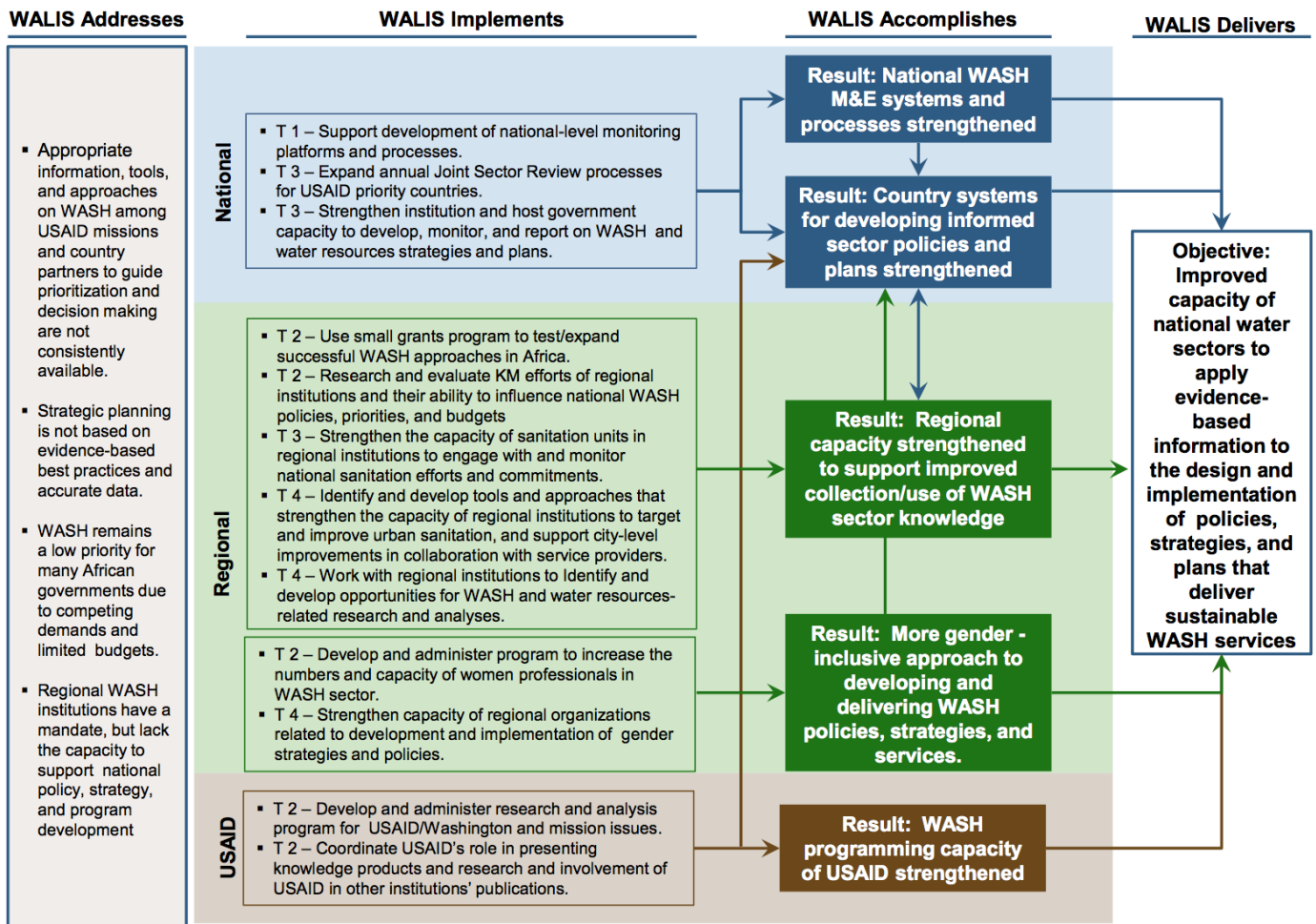
To ensure the quality of WALIS M&E data, the M&E team will conduct quarterly Data Quality Assurance (DQA) using USAID procedures based on USAID DQA standards in partnership with participating organizations. All data will be analyzed with an eye for regional and gendered representation. In addition to analysis by WALIS M&E and technical staff, performance and other data will also be analyzed and assessed in a participatory fashion with USAID and, when deemed appropriate, WALIS partners. By including WALIS partners in DQA and analyses, we will build local ownership of activities and impact, and build the capacity of WALIS partners to collect and analyze data (thus contributing to IRI).

The assessment and analysis of performance data is critical to understanding how well a project is progressing toward achievement of its expected results, and to identify issues that must be addressed by management to improve project performance on an ongoing basis. Sufficient time must be allocated and scheduled for thoughtful analysis and internal discussion before quarterly reports are written and submitted to USAID. The analysis period must also incorporate time to review the quality of the data obtained, and to take action as necessary to address and correct errors before analysis of data can begin.

To ensure adequate time is allocated for these critical functions, the WALIS M&E staff will establish a Data Collection, Analysis and Reporting Calendar that works back from dates required for quarterly report submission to determine when performance data for indicators must be collected and transmitted. The calendar will include dates indicating the time frame for review and analysis, additional computations, or other forms of analysis that may be required to determine actual performance for the quarter; discussions with those technical staff transmitting the data, as needed; and a comparative analysis of the actual value in relation to quarterly and/or annual performance targets. Discussions will be held with the COP and lead technical staff to discuss performance issues related to indicators that have not met their quarterly targets to determine the factors that are likely involved and the implication for management decision-making.

WALIS will use data analysis to evaluate the effectiveness of our activities. COP Pollard and the WALIS team will use data and information supplied through the M&E system to develop each year's work plan and targets, updating the PMP, tracking activity performance, and identifying implementation issues and successes. M&E data will be compiled on a quarterly and annual basis, and will contribute to quarterly, annual, mid-term, and final reports and evaluations as required by USAID.

ANNEX I—APPROACH AND CASUAL MODEL FOR THE IMPLEMENTATION OF WALIS



ANNEX II—WALIS PERFORMANCE MONITORING TABLE

Component/ Indicator	Type	Definition and Unit of Measure	Data collecti on method / source(s)	Frequency	Disaggregation	Responsibility	Baseline year; value	FY 1 Target	FY 1 Actual	FY 2 Target	FY 2 Actual	FY 3 Target	FY 3 Actual	FY 4 Target	FY 4 Actual	FY 5 Target	FY 5 Actual
Strategic objective: Improve capacity of national water sectors to implement policies, strategies, and plans that will deliver sustainable WASH services consistent with the SDGs																	
IR 1. Strengthened capacity of national and regional institutions to collect and utilize sound sector data in order to monitor WASH services and inform sector planning.																	
Indicator 1.1: Number policies, strategies, and plans for sustainable WASH services officially proposed, adopted, or implemented as a result of USG assistance.	Outcome	Policies, strategies and plans include those measures developed to address sustainability of WASH services. If a measure is not yet adopted, it must at least be formally proposed within an official process to be reported. Unit of Measure: Number of policies, strategies, and plans		Annual	Disaggregated by region, country, institution/service type		0										
Indicator 1.2: Number of stakeholders using sound sector data in their decision making as a result of USG assistance.	Outcome	Unit of Measure: Number of stakeholders.		Annual	Disaggregated by region, country, institution/service type, gender		0										

Component/ Indicator	Type	Definition and Unit of Measure	Data collecti on method / source(s)	Frequency	Disaggregation	Responsibility	Baseline year; value	FY 1 Target	FY 1 Actual	FY 2 Target	FY 2 Actual	FY 3 Target	FY 3 Actual	FY 4 Target	FY 4 Actual	FY 5 Target	FY 5 Actual
Strategic objective: Improve capacity of national water sectors to implement policies, strategies, and plans that will deliver sustainable WASH services consistent with the SDGs																	
Indicator 1.3: Number of institutions that have implemented new WASH sector monitoring and evaluation plans and efforts as a result of USG assistance.	Outcome	Unit of Measure: Number of institutions.		Annual	Disaggregated by region, country, institution/service type, urban/rural		0										
IR 2. Creation and dissemination of sound sector data and analyses surrounding WASH processes and innovations																	
Indicator 2.1: Number of models for improving WASH service delivery piloted, evaluated, and completed.	Outcome	TBD		Annual	Disaggregation by region, country, institution/service type, urban/rural												
Indicator 2.2: Number of individuals from the WASH sector trained in WASH sector data collection and monitoring and evaluation as a result of USG assistance.	Output	Training is defined as a learning activity for participants involving: 1) a setting intended for teaching or transferring knowledge, skills, or attitudes; 2) formally designated instructors or lead persons; and 3) a defined curriculum, learning objectives, and outcomes. Unit of Measure: Number of stakeholders.		Quarterly	Disaggregated by region, country, institution/service type, gender		0										

Component/ Indicator	Type	Definition and Unit of Measure	Data collecti on method / source(s)	Frequency	Disaggregation	Responsibility	Baseline year; value	FY 1 Target	FY 1 Actual	FY 2 Target	FY 2 Actual	FY 3 Target	FY 3 Actual	FY 4 Target	FY 4 Actual	FY 5 Target	FY 5 Actual
Strategic objective: Improve capacity of national water sectors to implement policies, strategies, and plans that will deliver sustainable WASH services consistent with the SDGs																	
Indicator 2.3: Percentage change in number of water resource sustainability assessments undertaken.	Outcome	Unit of Measure Percentage change.		Quarterly	Disaggregation by region, country, institution/service type, urban/rural		0										
IR 3. Increased levels of coordination, communication, and knowledge sharing among national and regional institutions and development partners within the African WASH sector																	
Indicator 3.1: Number of WASH publications developed by WALIS and partner organization(s).	Output	New publications that did not previously exist and are directly linked to WALIS research and activities. Unit of Measure: Number of publication.		Quarterly	Disaggregation by region, country, institution/service type		0										
Indicator 3.2: Number of stakeholders receiving USG assistance engaged in the advocacy of sound WASH sector data.	Output	Unit of Measure: Number of stakeholders.		Quarterly	Disaggregation by region, country, institution/service type, gender		0										
Indicator 3.3: Number of public-private partnerships formed as a result of USG assistance.	Outcome	Unit of Measure: Number of partnerships.		Annual	Disaggregation by region, country, institution/service type		0										
Indicator 3.4: Number of regional partnerships formed as a result of USG assistance.	Outcome	Unit of Measure: Number of partnerships.		Annual	Disaggregation by region, country, institution/service type		0										

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